

PERFORMANCE PLAN AND APPRAISAL FORM

Performance Management System (PMS)
(Nonsupervisory)

Part A-1

EMPLOYEE INFORMATION	PERFORMANCE PLAN CERTIFICATION
Name _____	Rating Official _____ Date _____
SSN _____	Reviewing Official _____ Date _____
Position (Title, Series & Grade) _____	Employee _____ Date _____
Organization (Office, Division, Branch) _____	(Employee acknowledges that the job elements and performance standards have been discussed and are understood.) Performance at the start of the rating period is presumed to be at the "meets" level unless the employee is currently on a Performance Improvement Plan.

EMPLOYEE STATUS	PROGRESS REVIEW CERTIFICATION	TYPE OF RATING												
<input type="checkbox"/> Bargaining Unit <input type="checkbox"/> Non-Bargaining Unit	<table border="1"><thead><tr><th colspan="2">Progress Review - Initial and Date</th></tr><tr><th>Employee</th><th>Rating Official</th></tr></thead><tbody><tr><td> </td><td> </td></tr></tbody></table> <table border="1"><thead><tr><th colspan="2">Progress Review (Optional)</th></tr><tr><th>Employee</th><th>Rating Official</th></tr></thead><tbody><tr><td> </td><td> </td></tr></tbody></table> At least one progress review will be held during the appraisal period.	Progress Review - Initial and Date		Employee	Rating Official			Progress Review (Optional)		Employee	Rating Official			<input type="checkbox"/> Interim <input type="checkbox"/> Promotion <input type="checkbox"/> Detail (120 days+) <input type="checkbox"/> Temporary Promotion (120 days+) <input type="checkbox"/> Departing Employee (Reassignment/Transfer) <input type="checkbox"/> Departing Supervisor <input type="checkbox"/> Other _____ <input type="checkbox"/> Merit Promotion Request <input type="checkbox"/> Final Rating of Record (Annual Performance Rating)
Progress Review - Initial and Date														
Employee	Rating Official													
Progress Review (Optional)														
Employee	Rating Official													
RATING PERIOD From: _____ To: _____ Minimum appraisal period is ninety (90) days														

SUMMARY RATING	PERFORMANCE AWARD CERTIFICATION
<input type="checkbox"/> EXCEEDS - Level of performance exceeds expectations of fully accomplishing the work and demonstrates performance at a high level. <input type="checkbox"/> MEETS - Level of performance fully and completely accomplishes the work. <input type="checkbox"/> DOES NOT MEET - Level of performance which fails to meet one of the above levels. Performance is considered unacceptable.	Award Percentage _____ Award Amount \$ _____ Variations from prescribed amounts require additional justification (must be attached) and signatures below.
RATING CERTIFICATION Rating Official _____ Date _____ Reviewing Official _____ Date _____ Employee _____ Date _____ (Employee's signature does not necessarily reflect agreement with rating.) (Employee comments may be attached.)	Signature of Division Director or above _____ Date _____ Signature of Assistant Commissioner or above _____ Date _____ Signature of Incentive Awards Officer _____ Date _____

PERFORMANCE PLAN AND APPRAISAL FORM

Performance Management System (PMS)
(Nonsupervisory)

Part A-2

THE WEIGHTED 100 POINT NUMERICAL SYSTEM	CALCULATING THE SUMMARY RATING
<p>Each element is assigned a "weight." The sum of the "weights" assigned must equal 100. Use whole numbers only in increments of 5. No element may have a weight of less than 15 or greater than 35.</p> <p>Performance on each element will be evaluated and assigned one of the following ratings and corresponding points:</p> <p>"EXCEEDS" 2 "MEETS" 1 "DOES NOT MEET" 0*</p> <p>* Any element with this rating automatically results in an unacceptable Summary rating.</p>	<ol style="list-style-type: none"> 1. Calculate the sub-totals of each element by multiplying the: WEIGHT OF EACH ELEMENT X RATING POINT VALUE 2. Add the sub-totals for a TOTAL POINT SCORE 3. On the Summary Rating Conversion Chart, the total point score will fall within a point range. Use the Summary Rating Conversion Chart to derive the SUMMARY RATING

ELEMENT	RATING POINT VALUE	X	WEIGHT	=	SUB-TOTAL
1. Professional Application	_____	X	_____	=	_____
2. Job Knowledge/Technical Skills	_____	X	_____	=	_____
3. Teamwork	_____	X	_____	=	_____
4. Customer Service	_____	X	_____	=	_____
			100		
			TOTAL	=	_____

SUMMARY RATING CONVERSION CHART	INCORPORATION OF INTERIM RATINGS
<p>Using the total point score, summary ratings are calculated as follows:</p> <p>"EXCEEDS" 165-200 points "MEETS" 100-160 points "DOES NOT MEET" 0-95 points or any element rated at the "does not meet" level</p>	<p>If the rating is final, list here what interim ratings were considered in deriving the rating of record. Attach interim ratings with this final rating.</p> <p style="text-align: right;">From: _____ To: _____</p> <p style="text-align: right;">From: _____ To: _____</p> <p style="text-align: right;">From: _____ To: _____</p>

PRIVACY ACT NOTIFICATION

The information gathered by this form, under the authority of Chapter 43 of Title 5, U.S. Code, may be used to make determinations regarding employees' job advancement, salary increases, incentive awards, training and retention in the job or grade. Information and comments obtained from the employee which are included on this form will not be disclosed outside the Bureau of the Public Debt without prior consent, except as required or permitted by law. If comments are provided by the employee, these comments may be considered in conjunction with any use of the form which may include discussion and counseling regarding the employee's job performance. Employee comments are voluntary; however, failure to make comments may affect consideration of all pertinent factors in making determinations about the employee. Copies of the form will be maintained by the servicing personnel office, the reviewing official, rating official and the employee.

EMPLOYEE NAME

JOB ELEMENT PERFORMANCE

JOB ELEMENT: PROFESSIONAL APPLICATION

ELEMENT WEIGHT:

Observed Performance As Related To The Standard

JOB ELEMENT: JOB KNOWLEDGE/TECHNICAL SKILLS

ELEMENT WEIGHT:

Observed Performance As Related To The Standard

JOB ELEMENT: TEAMWORK

ELEMENT WEIGHT:

Observed Performance As Related To The Standard

JOB ELEMENT: CUSTOMER SERVICE

ELEMENT WEIGHT:

Observed Performance As Related To The Standard

JOB ELEMENT AND PERFORMANCE STANDARDS (NONSUPERVISORY)**PROFESSIONAL APPLICATION**

This element rates your effectiveness in accomplishing work assignments. These assignments may include special projects in addition to regular duties. Provided below are examples of the performance which is expected for this element.

PERFORMANCE STANDARD (MEETS):

Your performance need not meet each and every aspect described, however, it is expected that your performance will normally meet these requirements. This standard is met when you regularly:

- Write in a manner that is clear, relevant, concise, well-organized, grammatically correct and appropriate for the audience.
 - Use oral communication skills that meet objectives, are persuasive, tactful and appropriate for the audience; demonstrate attention, courtesy and respect for others.
 - Complete work within established time-frames.
 - Complete your work accurately and thoroughly.
 - Plan, organize and execute work assignments to meet organization's expectations and goals; effectively use available tools and resources to accomplish assigned tasks.
 - Analyze tasks and set appropriate priorities; recognize potential problems; weigh alternative courses of action; develop appropriate and timely solutions after considering short and long-term implications; and, make sound recommendations and/or decisions.
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DESCRIPTION OF EXCEEDS AND DOES NOT MEET ELEMENT RATING LEVELS**EXCEEDS THE STANDARD:**

It may be determined that the standard can be exceeded in a variety of ways. Such as:

- Performance in most areas might exceed the standard while performance in all other areas meets the standard.
- Performance in one or more areas might clearly exceed the standard while performance in all other areas meets the standard.
- Performance in all areas could be so solid, reliable and consistent that overall performance exceeds the standard.
- Performance is subject to extraordinary circumstances.

DOES NOT MEET THE STANDARD:

It may be determined that the standard is not met in a variety of ways. Such as:

- Performance regularly does not meet the standard in several areas.
- Performance in most areas requires consistent higher level assistance or intervention.
- Performance clearly does not meet the standard in one or more areas and has serious repercussions or results in damage to the organization's credibility.

JOB ELEMENT AND PERFORMANCE STANDARDS (NONSUPERVISORY)

JOB KNOWLEDGE AND TECHNICAL SKILLS

This element rates your effectiveness using job knowledge and technical skills to accomplish overall organizational mission and goals. Provided below are examples of the performance which is expected for this element.

PERFORMANCE STANDARD (MEETS):

Your performance need not meet each and every aspect described, however, it is expected that your performance will normally meet these requirements. This standard is met when you regularly:

- Demonstrate program knowledge and technical skills to accomplish work assignments (technical skills may include use of job-specific equipment, automated systems/data bases, research materials, etc.).
 - Properly interpret and apply laws, regulations, agency policies, directives and operating procedures.
 - Demonstrate knowledge of internal controls to safeguard resources from fraud, theft, and any other unauthorized use.
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DESCRIPTION OF EXCEEDS AND DOES NOT MEET ELEMENT RATING LEVELS

EXCEEDS THE STANDARD:

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- Performance in most areas might exceed the standard while performance in all other areas meets the standard.
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JOB ELEMENT AND PERFORMANCE STANDARDS (NONSUPERVISORY)

TEAMWORK

This element rates how effectively you interact with others and how effectively you support and personally contribute to the realization of the overall organizational mission and goals. Provided below are examples of the performance which is expected for this element.

PERFORMANCE STANDARD (MEETS):

Your performance need not meet each and every aspect described, however, it is expected that your performance will normally meet these requirements. This standard is met when you regularly:

- Work constructively with coworkers and personnel from other organizations (both internal and external to Public Debt).
 - Share information, knowledge, and experience with others and promote open communication in dealing with team members, supervisors, and coworkers.
 - Assume personal responsibility for assigned tasks by carrying your share of the workload.
 - Actively participate in work related team or group activities which support organizational goals (if applicable) and are open-minded to new ideas and innovative approaches.
 - Provide encouragement and assistance to other team members or coworkers, as needed.
 - Actively participate while receiving direction and are receptive to constructive suggestions and feedback.
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DESCRIPTION OF EXCEEDS AND DOES NOT MEET ELEMENT RATING LEVELS

EXCEEDS THE STANDARD:

It may be determined that the standard can be exceeded in a variety of ways. Such as:

- Performance in most areas might exceed the standard while performance in all other areas meets the standard.
- Performance in one or more areas might clearly exceed the standard while performance in all other areas meets the standard.
- Performance in all areas could be so solid, reliable and consistent that overall performance exceeds the standard.
- Performance is subject to extraordinary circumstances.

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It may be determined that the standard is not met in a variety of ways. Such as:

- Performance regularly does not meet the standard in several areas.
- Performance in most areas requires consistent higher level assistance or intervention.
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JOB ELEMENT AND PERFORMANCE STANDARDS (NONSUPERVISORY)

CUSTOMER SERVICE

This element rates your effectiveness in meeting customer expectations. It includes recognizable behaviors and services provided to internal and external customers. Provided below are examples of the performance which is expected for this element.

PERFORMANCE STANDARD (MEETS):

Your performance need not meet each and every aspect described, however, it is expected that your performance will normally meet these requirements. This standard is met when you regularly:

- Recognize your customers (internal and external); assist them in defining, assessing and meeting their needs; and follow up when necessary.
 - Maintain open and constructive communication.
 - Meet customer priorities and expectations by being supportive, flexible and innovative to the extent feasible.
 - Are professional and treat customers with courtesy and respect.
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DESCRIPTION OF EXCEEDS AND DOES NOT MEET ELEMENT RATING LEVELS

EXCEEDS THE STANDARD:

It may be determined that the standard can be exceeded in a variety of ways. Such as:

- Performance in most areas might exceed the standard while performance in all other areas meets the standard.
- Performance in one or more areas might clearly exceed the standard while performance in all other areas meets the standard.
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- Performance clearly does not meet the standard in one or more areas and has serious repercussions or results in damage to the organization's credibility.

INSTRUCTIONS

GENERAL INSTRUCTIONS: PD F 5011-E is the form to be used for recording the job elements and performance standards and for documenting interim appraisals, progress reviews, appraisals and summary performance ratings for all nonsupervisory employees. Before completing this form, all covered employees, rating officials, and reviewing officials should be familiar with Public Debt's performance appraisal system.

PERFORMANCE PLAN: Weights and optional supplemental attachments must be assigned to the performance plan (job elements and performance standards) before the appraisal period begins. The performance plan must be certified by the rating official, reviewing official and employee on Part A-1, Performance Plan Certification. Performance plans must be provided to employees in the following instances:

- 1) The beginning of each appraisal period;
- 2) Upon entering a new position;
- 3) When there is a substantial change in the employee's work assignment; and
- 4) When an employee is detailed or temporarily promoted and the action is expected to last 120 days or longer.

Changes made to the weights and optional supplemental attachment(s) may be made at any time but ordinarily changes should not be made during the last 90 days of the appraisal period. Rating official, reviewing official and employee must initial and date any changes.

Job Elements and Performance Standards: Unacceptable performance for any element would result in a "does not meet" summary rating.

PERFORMANCE APPRAISAL CYCLE:

<u>Last Name Begins With</u>	<u>Appraisal Cycle</u>	<u>Month Appraisal Due</u>
A	Jan. 1 - Dec. 31	January
B	Feb. 1 - Jan. 31	February
C	Mar. 1 - Feb. 28	March
D,E	Apr. 1 - Mar. 31	April
F,G	May 1 - Apr. 30	May
H,I,J	Jun. 1 - May 31	June
K,L	Jul. 1 - Jun. 30	July
M	Aug. 1 - Jul. 31	August
N,O,P,Q,R	Sep. 1 - Aug. 31	September
S	Oct. 1 - Sep. 30	October
T,U,V	Nov. 1 - Oct. 31	November
W,X,Y,Z	Dec. 1 - Nov. 30	December

PROGRESS REVIEW: At least one progress review will be documented approximately at the midpoint of the annual appraisal cycle. All progress reviews must be certified by the rating official and employee on Part A-1.

INTERIM RATING: An interim appraisal must be completed in the following situations:

- 1) Employee enters a new position/changes positions.
- 2) Employee's detail or temporary promotion of 120 days or more ends.
- 3) Rating official changes.
- 4) If changes are made to the weights or optional supplemental attachment(s) of the work plan and a new plan is given to employee.
- 5) Employee is promoted.

If the employee's appraisal cycle ends within 90 days, the rating assigned will be considered a rating of record and must reflect consideration of any other interim ratings assigned during the appraisal period. Appraisals given in these situations will be identified as a Final Rating of Record in Part A-1.

Part A-2, Incorporation of Interim Ratings, must be completed when interim ratings are incorporated in the rating of record.

APPRAISAL AND SUMMARY RATING: Appraisals and summary ratings will be completed within 30 days following the end of the appraisal period. Written comments must be prepared in Part B by the rating official for each job element where performance is at the "does not meet" or "exceeds" level. A rating level must then be assigned to each element in the block provided in Part A-2. The rating official will then assign a summary rating based on the Summary Rating Conversion Chart found in Part A-2. Any interim appraisal must also be considered in deriving the summary rating.

The appraisal must be certified by the rating official and reviewing official in Part A, Rating Certification. A meeting must then be held to discuss the rating with the employee who must also sign the appraisal in Part A. The employee may make any written comments on an additional sheet and forward them with the appraisal.

COMPLETED APPRAISAL: Once the rating official, reviewing official and employee have certified the appraisal, the original is given to the employee. The rating official and servicing personnel office will each receive a copy of the appraisal.

PERFORMANCE AWARD CERTIFICATION: The signing of the "Rating Certification" constitutes approval of any awards based on the rating of record. The proper awards percentage and amount should be entered on Part A-1. The award amount must be based on the employee's base salary (not including locality pay) at the end of the rating period and rounded up to the next five dollar increments.